### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Newhall Area	Division: Southern	Chapter:
Inspected by: Sgt. J. Martinez		Date: 12-16-08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.		Box and the second of the seco	
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command L	_evel	Appeal Included	
☐ Executive Office Level		Attachments Included	
Follow-up Required: Forward to: Southern Division		Commander's Signature:	Date:
☐ Yes	Due Date: Feb. 28, 2008	MOn	2-26-09
SERVICE OF THE PROPERTY OF THE	ATTENDED TO STORY TO SEE THE	2000年2月2日 1982年 19	
Chapter Inspection: Three –	Command Procurement	S	
Inspector's Comments Regar	rding Innovative Practice	es:	
None.			
Command Suggestions for S	tatewide Improvement:		
None.	ĸ		
Inspector's Findings:			

The Newhall Area's Fiscal Control Program is being operated within the guidelines set forth by departmental policy.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Newhall Area	Southern	4
Inspected by:		Date:
Sat J. Martine	7	12-16-08

Commander's Response:	
No response required.	
Inspector's Comments:	
None.	
Required Action	The second secon
Corrective Action Plan/Timeline	

### **COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT**

ge 3

Chapter: Division: Command: 4 Southern Newhall Area Date: Inspected by: 12-16-08 Sgt. J. Martinez

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appear (CVICW Bediater). (This shall be are only lover or appear).	
× ·	
Load Joangeter's Signature:	Date:
Lead Inspector's Signature:	
Pasponding Commander's Signalure (for appeal):	Z-76 exp Date: 2-26-09
14Ch	2-26-09

Page

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### SPECTION PROGRAM

Chapter 4 Fiscal Controls

Command:	Division:	Number:
Newhall	Southern	540
Evaluated by:		Date:
B. Mitchell		12-16-08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION 1 54 ☐ Division Level □ Command Level ☐ Office of Inspections □ Voluntary Self-Inspection Commander Signatu Follow-up Required: Follow-Up Inspection No. Yes 2-26-09 For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. Is management actively involved in reviewing and 1. Remarks: X Yes □ No □ N/A approving paperwork related to receiving and preparing collections? 2. Does the command have Standard Operating Remarks: □ No  $\square$  N/A Procedures (SOP) to provide necessary guidelines 🖾 Yes for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: duties for collections received? ✓ Yes □ No □ N/A 4. Does the command have adequate separation of Remarks: X Yes □ No □ N/A duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: X Yes □No □ N/A restricted? Does a record exists which identifies who has access Remarks: □ N/A to the safe and/or vault and when changes in access X Yes □No occur? Was the lock combination changed when an excess Remarks: ⊠ Yes □ No □ N/A number of employees were aware of the combination, transferred out of the Area, or no longer requires access? Is the safe securely anchored to the building? Remarks: ⊠ Yes □ N/A □ No 9. Are weekly transmittal reports prepared in Remarks: accordance with departmental policy? ✓ Yes □ No □ N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks:

□ No

□ N/A

Management Section (FMS) within five working days

following the week covered by the report?

### **SPECTION PROGRAM**

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:
(6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if necessary?		☐ No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?		□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	∑ Yes	☐ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	⊠ Yes	□No	□ N/A	Remarks;
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?		□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks:

Page 3 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **SPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks: No change fund,
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks: Locked in a file,
28. Are all petty cash purchases under \$50?	⊠ Yes	☐ No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

Page

Remarks:

Remarks:

□ N/A

N/A

□ No

☐ No

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### SPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Southern	Number: 514
LACC		
Evaluated by:		Date:
WPT Kathy Doc	dson	12/11/2008
Assisted by:		Date:
OSSI Sharronn	Moore	12/11/2008

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ○ Command Level Division Level Office of Inspections ☐ Voluntary Self-Inspection Commander's Signature: Follow-up Required: 12/23/08 Follow-Up Inspection ⊠ No ☐ Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: ☐ No □ N/A approving paperwork related to receiving and preparing collections? Does the command have Standard Operating Remarks: X Yes □ No □ N/A Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? Does the command have adequate separation of Remarks: OSSI Sharrronn Moore, ⊠ Yes ☐ No N/A duties for collections received? A12119 OAII Elizabeth Reeves, A14764 4. Does the command have adequate separation of Remarks: OSSI Sharrronn Moore, ⊠ Yes □No □ N/A duties for the cash receipt process? A12119 OAII Elizabeth Reeves, A14764 5. Is access to the safe and/or vault appropriately Remarks: A lock box is used ⊠ N/A Yes □ No restricted? Does a record exists which identifies who has access Remarks: A memorandum is ⊠ N/A to the safe and/or vault and when changes in access ☐ Yes ☐ No prepared and filed occur? 7. Was the lock combination changed when an excess Remarks: 3 separate keys are used ☐ Yes □ No ⊠ N/A number of employees were aware of the to access the lock box combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: A small lock box is used ☐ Yes □ No N/A 9. Are weekly transmittal reports prepared in

Yes

X Yes

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

accordance with departmental policy?

following the week covered by the report?

10. Is the weekly transmittal report(s) submitted to Fiscal

Management Section (FMS) within five working days

### **SPECTION PROGRAM**

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□ No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□ No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□ No	□ N/A	Remarks: When applicable
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	⊠ No	□ N/A	Remarks: Problem corrected during an October 2008 audit
22. Is the CHP 264 properly authorized?	⊠ Yes	□ No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□ No	□ N/A	Remarks: A petty cash audit was recently completed in October, 2008
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	⊠ No	□ N/A	Remarks: Problem corrected in October, 2008 audit and is now in a suspense file
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□ No	□ N/A	Remarks:

Page 3 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### SPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks: A lock box is used, 3 separate keys are used to gain access
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	☐ No	□ N/A	Remarks: OSSI Sharronn Moore, A12119

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
LACC	Southern	4 Fiscal Controls
Inspected by: WPT Kathy	Dodson	Date: 12/11/2008

. .3TRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level ☐ Appeal Included ☐ Executive Office Level Attachments Included Forward to: Commander's Signature: Follow-up Required: Yes ⊠ No Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None

Inspector's Findings: No discrepancies found.

### **COMMAND INSPECTION PROGRAM**

**EXCEPTIONS DOCUMENT** 

ige 3

Command:	Division;	Chapter:
LACC	Southern	4 Fiscal Controls
Inspected by: WPT Kathy [	Dodson	Date: 12/11/2008

Appeal Process: (Appeals shall be filed within five (5) business days of th	e completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
a v	Si.
	×
·	
Appeal Review/Decision: (This shall be the only level of appeal).	
•	
9	
1 6/1/	
Lead Inspector's Signature:	Date: 12.23-08
X Cel Alox	Date:
Responding Commander's Signature (for appeal):	Date:

## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Division: ISU Southern		Chapter:		
Inspected by: Lt. D. Moeller,	#11275	Date: 12/22/2008		

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.		The state of the s	·	
TYPE OF INSPECTION  ☐ Division Level ☐ Command Level		Corrective Action Plan Included		
☐ Executive Office Level		Appeal Included  Attachments Included		
Follow-up Required:	Forward to: Southern Division	Commander's Signature:	Date:	
☐ Yes ☐ No	Due Date:	E. 41266	12-22-08	
Chapter Inspection:				
Inspector's Comments Rega	arding Innovative Practice	s:	(a) 1000000000000000000000000000000000000	
None				
Command Suggestions for S	Statewide improvement:	to the second se	WINDOWS	
None.				
Inspector's Findings:				

Southern Division Investigative Services Unit's has an established separation of duties and regular scheduled audits to ensure security, and provide checks and balances that comply with departmental policies.

In response to question #8, the configuration of the Unit's safe precludes it from being easily anchored to the building. The safe has been moved into the Lieutenant's office until such time that the safe can be anchored to the building or replaced with a safe that can be anchored to the building.

## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

rage 2

Command: ISU	Division: Southern	Chapter: 4	
Inspected by: Lt. D. Moeller, #11275		Date: 12/22/2008	

Commander's Response:	
No response required.	
Inspector's Comments:	
None.	
	and the second
equired Action	
Corrective Action Plan/Timeline	

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

age 3

Command: ISU	Division: Southern	Chapter:
Inspected by: Lt. D. Moelle	r. #11275	Date: 12/22/2008

Appeal Process: (Appeals shall be filed within five (5) business days of th	e completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
Appear (Teview/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
Pesponding Commander's Signature (for appeal):	12/22/2008
esponding commander's algitature (for appeal);	Date:

#### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Division:		Number:
ISU Southern		509
Evaluated by: Lt. D. Moeller,	#11275	Date: 12/22/2008
Assisted by:		Date:
OSSII L. Callejas, #A9541		12/22/2008

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Division Level □ Command Level Office of Inspections □ Voluntary Self-Inspection Commander's Signature Follow-up Required: Date: Follow-Up Inspection Yes ⊠ No 12/23/2008 For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2. Chapter 2. 1. Is management actively involved in reviewing and Remarks: approving paperwork related to receiving and X Yes □ No □ N/A preparing collections? 2. Does the command have Standard Operating Remarks: Procedures (SOP) to provide necessary guidelines ✓ Yes ΠNo □ N/A for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: duties for collections received? Yes □ No □ N/A 4. Does the command have adequate separation of Remarks: duties for the cash receipt process? Yes □ No □ N/A 5. Is access to the safe and/or vault appropriately Remarks: restricted? X Yes □ No □ N/A 6. Does a record exists which identifies who has access Remarks: to the safe and/or vault and when changes in access Yes □ No □ N/A occur? Was the lock combination changed when an excess Remarks: number of employees were aware of the X Yes □ No □ N/A combination, transferred out of the Area, or no longer requires access? Is the safe securely anchored to the building? Remarks: ☐ Yes ⊠ No  $\square$  N/A 9. Are weekly transmittal reports prepared in Remarks: accordance with departmental policy? X Yes □ No  $\square$  N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: Management Section (FMS) within five working days ⊠ Yes □ No □ N/A following the week covered by the report?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

### **INSPECTION PROGRAM**

7		·		
<ul><li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li><li>(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li></ul>	⊠ Yes	□No	□ N/A	Remarks:
(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).				
<ul><li>(3) STD 634, Absence and Additional Time Worked Report, for jury duty.</li><li>(4) CHP 221, Malicious Damage Report.</li></ul>				
(5) CHP 464, Traffic Control Cost Estimate – Advance Deposit.				
(6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□ No	□ N/A	Remarks: A memorandum would be prepared if necessary; however, the Command has not experienced any cash shortages.
13. Does the command ensure the information written on the counter receipt is complete and legible?	Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	Yes	□No	⊠ N/A	Remarks: No such circumstances. The only items sold by the Command are used tires for which a seller's permit number is obtained on the CHP 265.
18. Are all counter receipts pre-numbered and issued in numerical sequence?	⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks: No such transfers have occurred.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□ No	□ N/A	Remarks: The Command does not have a "Change Fund." Memorandums are prepared and filed each time a petly cash audit is performed.

#### **INSPECTION PROGRAM**

Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks: No such instances have occurred.
26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks: The Command does not have a "Change Fund."
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks: The Command does not have a "Change Fund."
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks: The OSSII is designated the pelly cash custodian.

STATL OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

East Los Angeles Southern

Controls

Date:
Paul Medeiros

12/04/2008

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number of the inspection in the C shall be routed to and its due dat	Chapter Inspection number. U e. This document shall be uti	opriate boxes as necessary, or fill in the blanks as ind Inder "Forward to:" enter the next level of command valued to document innovative practices, suggestions and may be used to appeal findings. A CHP 51 Memo	where the document for statewide
TYPE OF INSPECTION  Division Level Commit  Executive Office Level	and Level	<ul><li>☐ Corrective Action Plan Included</li><li>☐ Appeal Included</li><li>☐ Attachments Included</li></ul>	
Follow-up Required: ☐ Yes	Due Date:	Commander's Signature:	Date: 02-23-09
Chapter Inspection: Thre Inspector's Comments Re No innovative practices w  Command Suggestions for	egarding Innovative Pr vere observed.	ractices:	
None.	or Statewide Improven	ient.	100000000000000000000000000000000000000

Inspector's Findings:

The ASM's were unaware of departmental policy requiring a CHP 265 to be completed for disposal of used brake rotors. In the future, the ASM's will comply with policy.

## COMMAND INSPECTION PROGRAM FXCEPTIONS DOCUMENT

1	0				

Command: Division: Southern		Chapter:
Inspected by:		Date:
Paul Medeiros		12/04/2008

Page 2

Commander's Response:	
N/A	

Inspector's Comments:

Area personnel responsible for fiscal controls should receive refresher training on annual basis. A voluntary self-inspection should be completed no sooner than 6 months to verify policy is being followed.

Required Action

Corrective Action Plan/Timeline

N/A

### **COMMAND INSPECTION PROGRAM**

### **EXCEPTIONS DOCUMENT**

Command: Division: East Los Angeles Southern		Chapter:
Inspected by:		Date:
Paul Medeiros		12/04/2008

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
IN/A	ts.
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
ead Inspector's Signature:	Date:
Responding Commender's Signature (for appeal):	Date: A 7
Responding Commander's Signature (for appeal):	Date: 02-23-09
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## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Central L.A.	Division: Southern	Chapter: 4	
Inspected by: Sergeant R. Di	ggins, #14275	Date: 11/18/2008	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

improvement, identified deficiencies additional space is required.	s, corrective action plans, and may	be used to appear findings. A Chr ST Welliotal	edun may be doed in	
TYPE OF INSPECTION		Corrective Action Plan Included		
☐ Division Level ☐ Command Level		☐ Appeal Included		
Executive Office Level		☐ Attachments Included		
Follow-up Required:	Forward to:	Commander's Signature:	Date:	
☐ Yes ⊠ No	Due Date:	Poelay L	1-15-09	
Chapter Inspection: Inspector's Comments Reg None.	garding Innovative Practice	es:		
Command Suggestions for None.	Statewide improvement.		41	
140110-2				

Inspector's Findings:

All findings were in compliance with departmental policies and procedures.

#### SPECTION PROGRAM

Chapter 4
Fiscal Controls

Command: Central L.A.	Division: Southern	Number: 590
Evaluated by: Sgt. R. Diggins	Date: 11/13/2008	
Assisted by Officer R	l. Langsdale, #16243	Date:11/13/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPLCTION ☐ Division Level C)55 □ Voluntary Self-Inspection Office of Inspections Commander's Signature: Follow-up Required: Follow-Up Inspection X No Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: X Yes ☐ No □ N/A approving paperwork related to receiving and preparing collections? 2. Does the command have Standard Operating Remarks: No □ N/A ⊠ Yes Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: No I N/A X Yes duties for collections received? 4. Does the command have adequate separation of Remarks: N/A No duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: [] N/A X Yes □ No restricted? Does a record exists which identifies who has access Remarks: □ N/A to the safe and/or vault and when changes in access ☐ No occur? 7. Was the lock combination changed when an excess Remarks: □ N/A number of employees were aware of the X Yes ☐ No combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: Size hinders movement. □ N/A Yes X No Are weekly transmittal reports prepared in Remarks: Yes No. □ N/A accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: N/A Yes ☐ No Management Section (FMS) within five working days following the week covered by the report?

### SPECTION PROGRAM

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worke Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	d Yes	□ No	□ N/A	Remarks
12. Is a memorandum for cash shortages prepared if necessary?		□ No	□ N/A	Remarks:
13. Does the command ensure the information written the counter receipt is complete and legible?	on ⊠ Yes	□ No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	∑ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?		□ No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	□ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	n ⊠ Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?		□No	□ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.0 quarterly if under \$10.00, and on June 30 of each fiscal year?		∏ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?		□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, at receipts in transit equal the total of petty cash and change funds?		□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews petty cash and change funds performed by the commander or designated person?	of 🗵 Yes	□No	□ N/A	Remarks:
Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	☐ No	□ N/A	Remarks:

### **SPECTION PROGRAM**

	ere change funds used to cash checks, money ders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
OVE	e change funds over \$100 and petty cash funds er \$200 kept in a safe, vault, or money chest equate to safeguard cash?	⊠ Yes	□No	□ N/A	Remarks:
	e all petty cash purchases under \$50?	⊠ Yes	□ No	□ N/A	Remarks:
29. ls p	pelty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
	the command circumvent the dollar limitation by itting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
	a petty cash custodian designated by the mmander?	⊠ Yes	□ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM CEPTIONS DOCUMENT

Command: Division: Southern Division		Chapter: Chapter 4	
Inspected by:		Date:	
Sgt. A. Hernandez		12/10/08	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

improvement, identified deficiencies, corre		may be used if additional space is required.
TYPE OF INSPECTION  Division Level Command Level  Executive Office Level	Total hours expended on the inspection: hours	☐ Corrective Action Plan Included ☐ Attachments Included
Yes ⊠ No	orward to: Lt. Pembleton Due Date: 04/24/09	
Inspector's Comments Regardi	Inspection Chapter Priscance ing Innovative Practices:	
Command Suggestions for Stat	tewide Improvement:	
Inspector's Findings:		

There were no items requiring follow-up.

### **COMMAND INSPECTION PROGRAM CYCEPTIONS DOCUMENT**

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Command:	Division:	Chapter:	
Castaic E. F.	Southern Division	Chapter 4	
Inspected by: Sgt. A. Hernan	dez	Date: 12/10/08	

Page Z		
. 494 2		
Commander's Response:   Concur o	r Do Not Concur (Do Not Concur shall	document basis for response)
1		
Inspector's Comments: Shall address nor etc.)	n concurrence by commander (e.g., findings re	evised, findings unchanged,
GIO.)		
Required Action		
Corrective Action Plan/Timeline	WIT SALESAM CORES AND PUBLIC TO THE OFFICE	118-71-31-31-41-13-1-31
	5000 to	
one.		
Employee would like to discuss this report with	COMMANDER'S SIGNATURE	DATE
the reviewer.		
(See HPM 9.1, Chapter 8 for appeal procedures.)	INSPECTOR'S SIGNATURE	4-24-69 DATE
	1000	DAIL
Reviewer discussed this report with	REVIEWER'S SIGNATURE	DATE
employee	- Annual control of the control organic control of the control of	
Concur Do not concur	<u> </u>	

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Castaic E. F.	Southern Division	Chapter 4
Inspected by: Sgt. Hernande:	Z	Date: 02/19/09

number of the inspection in the Chap shall be routed to and its due date.	oter Inspection number. Under "F This document shall be utilized to	poxes as necessary, or fill in the blanks as indic Forward to:" enter the next level of command who document innovative practices, suggestions for the used to appeal findings. A CHP 51 Memore	nere the document r statewide		
TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Command	Level	Appeal Included			
Executive Office Level		Attachments Included			
Follow-up Required:	Forward to: Lt. Watson	Commander's Signature:	Date:		
☐ Yes   ☑ No	Due Date: 02/19/09	Im Man	02/19/09		
Chapter Inspection: 4		ALCOHOLOGIC STATES	expliqueternosse		
Inspector's Comments Rega			<b>34 75 35 35 37</b>		
Command Suggestions for S	Statewide Improvement:				
Inspector's Findings:					

There were no items requiring follow up.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

age 2

Command:	Division:	Chapter:
Castaic E. F.	Southern Division	Chapter 4
Inspected by: Sqt. Hernandez	Date: 02/19/09	

ommander's Response:	
spector's Comments:	
ietas Star (1994 - 1994). Esta por esta en entre describertas en esta entre a propositiva esta entre en entre e	
quired Action	
rrective Action Plan/Timeline	the district

None.

#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command:Newhall	Division:Southern	Number:541		
Evaluated by:Sergean	Date:12-10-08			
Assisted by: Suzanne	Date: 12-15-08			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

			11-21	1.1.6			
TYPE OF	INSPECTION		Lead Insp	ector's Signat	ure:		
☐ Div	vision Level	X Command Level	10	- /	//		
Of	fice of Inspections	☐ Voluntary Self-Inspection	Un	NH	en-		
Fo	ollow-up Required: Yes X No	☐ Follow-Up Inspection	Commander's Signature: Date:				
		apter 4, and HPM 11.2,					
1.	Is management actively in approving paperwork rela preparing collections?		Yes	□No	X N/A	Remarks: re	efer to page 4
2.	Does the command have Procedures (SOP) to prov for overall management a receiving and preparing or	ride necessary guidelines nd accountability of ollections?	☐ Yes	□ No	X N/A	Remarks:	
<ol><li>Does the command have adequate separation of duties for collections received?</li></ol>		Yes	□No	X N/A	Remarks:		
4.	Does the command have adequate separation of duties for the cash receipt process?		☐ Yes	□No	X N/A	Remarks:	
5.	Is access to the safe and/ restricted?	or vault appropriately	X Yes	□No	□ N/A	Remarks: re	efer to page 4
6.		h identifies who has access d when changes in access	☐ Yes	□No	X N/A	Remarks:	
7.	requires access?	e aware of the out of the Area, or no longer	☐ Yes	□No	X N/A	Remarks:	
	is the safe securely ancho		☐ Yes	No	X N/A	Remarks:	
9.	Are weekly transmittal repeaced accordance with departme		X Yes	□No	□ N/A	Remarks	
10.	Is the weekly transmittal re Management Section (FMS following the week covered	S) within five working days	X Yes	☐ No	□ N/A	Remarks	

### **INSPECTION PROGRAM**

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	X Yes	□ No	□ N/A	Remarks: refer to page 4
12. Is a memorandum for cash shortages prepared if necessary?	X Yes	☐ No	□ N/A	Remarks: refer to page 4
13. Does the command ensure the information written on the counter receipt is complete and legible?	X Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	X Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	X N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	Yes	☐ No	X N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	☐ No	X N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	X Yes	☐ No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□ No	X N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	X N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	X Yes	□ No	□ N/A	Remarks: Reports are submitted quarterly.
22. Is the CHP 264 properly authorized?	X Yes	□No	□ N/A	Remarks: CHP 264 authorized by the Commander
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	X Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	X Yes	□No	□ N/A	Remarks: Quarterly audits are prepared and submitted.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	X Yes	□No	□ N/A	Remarks: Negative reports are submitted routinely.

### **NSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	X No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	X Yes	□No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	X Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	X No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	X No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	X Yes	□No	□ N/A	Remarks: refer to page 4

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command Baldwin Park	Division Southern	Chapter 4
Inspected by Sergeant Henry	y J. Castillo	Date 11/15/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.	on plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if
TYPE OF INSPECTION  Division Level Command Level  Executive Office Level  Follow-up Required:  Yes No Due Date:  Chapter Inspection:	Corrective Action Plan Included  Appeal Included  Attachments Included  Commander's Signature:  Date:
Inspector's Comments Regarding Innov	vative Practices:
Area's Fiscal Control procedures. In th	d Standard Operating Procedure regarding the Baldwin Park e event of her absence, her alternate or the Administrative outlined to secure the Area's daily funds.
Command Suggestions for Statewide Ir	nprovement:
supplied with the means to install a sec	at Area offices with antiquated buildings or space issues be ured small wall or floor safe to secure funds rather than the abinet which by policy in HPM 11.2 is allowed.

Inspector's Findings:

It was discovered the Baldwin Park Area does not have a safe or vault to store funds at the end of the day. The funds are stored daily in the cash register with a double lock and at the end of the day the money is reconciled and placed in a locked container inside a locked filing cabinet.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Baldwin Park		
Inspected by:	<del></del>	Date:
Sergeant Henry J. Castillo		11/15/2008

Page 2

Commander's Response:	

The Baldwin Park Area concurs with the findings outlined in the Chapter 4 Fiscal Controls Command Inspection Program Exceptions Document.

Inspector's Comments:

The Inspector agrees with the Commanders comments.

### Required Action

Corrective Action Plan/Timeline

There was no corrective action required for this Inspection, but inquiries will be made regarding the Commands suggestions for statewide improvement.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command. Division: Baldwin Park Southern		Chapter 4		
Inspected by Sergeant Henry J. Castillo		Date 11/15/2008		

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

Appeal Review/Decision: (This shall be the only level of appeal).

NIA

#### SPECTION PROGRAM

Chapter 4
Fiscal Controls

Command Division: Baldwin Park Southern		Number (07-525-08		
Evaluated by: Sgt. Henry J. C	astillo	Date 11/15/2008		
Assisted by		Date		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Division Level □ Command Level Office of Inspections ☐ Voluntary Self-Inspection Follow-up Required: Follow-Up Inspection X No Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. QUARTERLY AVOITS Is management actively involved in reviewing and 1 Remarks: X Yes □ N/A □ No approving paperwork related to receiving and preparing collections? TRANSMITTALS WEEKLY Does the command have Standard Operating Remarks. Yes Procedures (SOP) to provide necessary guidelines No □ N/A for overall management and accountability of receiving and preparing collections? Does the command have adequate separation of Remarks: X Yes  $\square$  N/A duties for collections received? No Does the command have adequate separation of Remarks: □ No □ N/A duties for the cash receipt process? X Yes NO SAFE, CASH Remarks: REGISTED ONU DOUBLE LOCK SY Is access to the safe and/or vault appropriately restricted? Yes No ∃ N/A Does a record exists which identifies who has access Remarks: No □ N/A to the safe and/or vault and when changes in access X Yes occur? 7. Was the lock combination changed when an excess Remarks X N/A Yes □ No number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: NO SAFE Yes □No X N/A 9. Are weekly transmittal reports prepared in Remarks X Yes No accordance with departmental policy? □ N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks Management Section (FMS) within five working days X Yes □ N/A □ No

following the week covered by the report?

### ISPECTION PROGRAM

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks
12. Is a memorandum for cash shortages prepared if necessary?	∑ Yes	☐ No	□ N/A	Remarks
13 Does the command ensure the information written on the counter receipt is complete and legible?		□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	∑ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	X Yes	☐ No	□ N/A	FOR PHOTOS AND Remarks: SCHOOL BUS MANUALS
18 Are all counter receipts pre-numbered and issued in numerical sequence?	X Yes	□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	⊠ Yes	□ No	□ N/A	Remarks
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	Yes	□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	☑ Yes	☐ No	□ N/A	Remarks
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	🛚 Yes	□No	□ N/A	Remarks.
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	X Yes	□ No	□ N/A	Remarks DONT HAVE ANY SHORTAGES

### SPECTION PROGRAM

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	X Yes	☐ No	□ N/A	Remarks
28. Are all petty cash purchases under \$50?	X Yes	□No	□ N/A	Remarks:
29 Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks:

### **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Antelope Valley	Division: Southern	Chapter: 4
Inspected by: Lt. A. Witmer/OS	SI Hayworth	Date: 11/10/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.	corrective action plans, and may	be used to appeal findings. A CHP 51 Memorar	dum may be used if
TYPE OF INSPECTION  Division Level Command  Executive Office Level  Follow-up Required:  Yes No	Level  Forward to: Southern Division  Due Date: Dec 10, 2008	□ Corrective Action Plan Included     □ Appeal Included     □ Attachments Included     □ Commander's Signature:	Date: 2/19/09
Chapter Inspection: Inspector's Comments Rega	rding Innovative Practice	PS:	
None.			
Command Suggestions for S	tatewide Improvement:		
None.			
Inspector's Findings:			

The Antelope Valley Area's fiscal Control Program which encompasses: Security of Area petty cash and change funds, monitoring and processing of collections, weekly transmittals, counter receipts, and separation of duties to provide checks and balances, operates within departmental policy.

Only one action item was noted during the inspection. The safe, located within the locked evidence room, was not anchored to the building.

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

Command:	Division:	Chapter:
Antelope Valley	Southern	4
Inspected by: Lt. Andria Witmer/OSSI Hayworth		Date: 11/10/2008

Page 2

11			
N	Commander's	Response:	

The issue of the unanchored safe was brought to the attention of Facility Inspectors during a walk-through of the facility on December 4, 2008.

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

Area will ensure the safe is anchored to the facility by April 30, 2009.

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PRO

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Antelope Valley	Division: Southern	Chapter:
Inspected by: Lt. A. Witmer/OS		Date: 11/10/08

Page 3

Appeal Process: (Appeals shall be filed within five (5)	ousiness days of the compl	leted chapter inspection).	
Commander's Basis for Appeal:			
N/A			
Appeal Review/Decision: (This shall be the only level	of anneal)		
	от арреату.		

Lead Inspector's Signature:	Date: 2/19/09
Responding Commander's Signature (for appeal).	Date:
. Alle	2-19-09
1	

Remarks: This was brought to the

December 4, 2008.

Remarks:

Remarks:

attention of the Facility Inspectors on

STATE OF CALIFORNIA
PEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **ISPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command:	Division:	Number:
Antelope Valley	Southern	545
Evaluated by:		Date:
Lt. A. Witmer		11/10/2008
Assisted by:		Date:
OSSI Cindy Hayworth		11/10/2008

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Witmi Division Level Command Level Office of Inspections ☐ Voluntary Self-Inspection Commander's Signature: Follow-up Required: Follow-Up Inspection X Yes 12-12-08 For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. Is management actively involved in reviewing and Remarks: X Yes □ N/A approving paperwork related to receiving and □ No preparing collections? Does the command have Standard Operating Remarks: In Office Assistant job Procedures (SOP) to provide necessary guidelines X Yes ☐ No □ N/A descriptions in the SOP. for overall management and accountability of receiving and preparing collections? Does the command have adequate separation of Remarks: X Yes duties for collections received? □ No ☐ N/A 4. Does the command have adequate separation of Remarks: One OA processes duties for the cash receipt process? X Yes ☐ No ☐ N/A requests and one OA prepares the transmittal. 5. Is access to the safe and/or vault appropriately Remarks: Locked in Evidence room. □ N/A restricted? X Yes □ No 6. Does a record exists which identifies who has access Remarks: Prepared by Evidence to the safe and/or vault and when changes in access X Yes ΠNο □ N/A officer after last audit. occur? Was the lock combination changed when an excess Remarks: The safe is in evidence number of employees were aware of the Yes ⊠ No ☐ N/A room and those who knew the combination, transferred out of the Area, or no longer combination have since retired and requires access? no longer have access to the room. Is the safe securely anchored to the building?

☐ Yes

X Yes

X Yes

⊠ No

☐ No

☐ No

N/A

□ N/A

☐ N/A

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

\*\*\*ACTION ITEM\*\*\*

Are weekly transmittal reports prepared in

following the week covered by the report?

10. Is the weekly transmittal report(s) submitted to Fiscal

Management Section (FMS) within five working days

accordance with departmental policy?

2 of 3 Page

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### - ISPECTION PROGRAM

Chapter 4
Fiscal Controls

<ul> <li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>(3) STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>(4) CHP 221, Malicious Damage Report.</li> <li>(5) CHP 464, Traffic Control Cost Estimate — Advance Deposit.</li> <li>(6) Civil subpoena.</li> </ul>	⊠ Yes	□ No	□ N/A	Remarks: discarded tires and junk batteries are now considered hazardous material and are not sold.
12. Is a memorandum for cash shortages prepared if necessary?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	⊠ Yes	□No	□ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□ No	⊠ N/A	Remarks: Area does not sell these items to the public since they are now considered hazardous materials.
17. Is sales tax added to items that are not for resale?	☐ Yes	□ No	⊠ N/A	Remarks: See above.
18. Are all counter receipts pre-numbered and issued in numerical sequence?		□No	□ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks: None were done.
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?		□No	□ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□ No	□ N/A	Remarks:
22. Is the CHP 264 properly authorized?	⊠ Yes	□No	□ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks: Petty cash balanced on 11/7/08
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks: Contained in the Area files under "Audits."
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	⊠ Yes	□No	□ N/A	Remarks:

#### **ISPECTION PROGRAM**

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	∑ Yes	☐ No	□ N/A	Remarks: Cash box is kept locked in the clerical cabinets with limited access.
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	□No	□ N/A	Remarks: OSSI

#### COMMAND INSPECTION PROGRAM

<b>EXCEP</b>	PIONS	DOCI	IMEN	íΤ
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Command:	Division:	Chapter:	
Altadena Area	Southern	4	
Inspected by: Lieutenant Geletko		Date: 12/29/2008	

INSTRUCTIONS: This document shall be typed, Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Date: Commander's Signature: Forward to: Follow-up Required: Southern Division X No Yes Due Date: 12/31/2008 01/05/2009 Chapter Inspection: Inspector's Comments Regarding Innovative Practices: The Altadena Area is following all policies and procedures regarding "Fiscal Controls" as outlined in iPG 22.1. The Area has not implemented any innovative practices regarding fiscal procedures. Command Suggestions for Statewide Improvement: None

The Altadena Area is following all policies and procedures regarding "Fiscal Controls" as outlined in HPG 22.1. The Area does not have a safe or vault.

Inspector's Findings:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Altadena Area	Division:' Southern	Chapter:
Inspected by:		Date
Lieutenant Geletko		12/29/2008

Commander's Response:		3(0)

The Area will continue to follow policies and procedures regarding "Fiscal Controls" as outlined in HPG 22.1.

Inspector's Comments:

See "Inspector's Findings" section.

Required Action

Corrective Action Plan/Timeline

N/A

### COMMAND INSPECTION PROGRAM

### **EXCEPTIONS DOCUMENT**

Page 3

Command:	Division: Chapter:	
Altadena Area	Southern 4	
Inspected by: Lieutenant Geletko		Date: 12/29/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
	9.
Appeal Review/Decision: (This shall be the only level of appeal).	
Typedi Neview Bedioloff. (This shart be the only level of appear).	
	×
Lead Inspector's Signature	Date: 12/29/2008
"esponding Commander's Signature (for appeal)."	Date:

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STATE OF CALIFORNIA

SPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### INSPECTION PROGRAM

Chapter 4
Fiscal Controls

Command:	Division:	Number:	
Altadena Area	Southern	575	
Evaluated by:		Date:	
Lieutenant Chuck Geletko		12/29/2008	
Assisted by: Sergeant R, Lynch		Date: 12/29/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF I	NSPECTION		200000000000000000000000000000000000000	ctor's Signatu		
☐ Divi	sion Level	○ Command Level	0 3/2	let	10 /	下 チリリケフ
☐ Offi	ce of Inspections	☐ Voluntary Self-Inspection		-		
Fo [	llow-up Required: ] Yes ⊠ No	☐ Follow-Up Inspection	Commande	r's Signature		Date: 1-5-09
	I (SAM), HPM 11.1, C	to State Administrative napter 4, and HPM 11.2,				4
1.	Is management actively approving paperwork re preparing collections?		⊠ Yes	□No	□ N/A	Remarks;
2.	Does the command hav Procedures (SOP) to pro- for overall management receiving and preparing	ovide necessary guidelines and accountability of	⊠ Yes	□No	□ N/A	Remarks:
3.	duties for collections rec			□No	□ N/A	Remarks:
4.	Does the command hav duties for the cash recei	e adequate separation of pt process?	⊠ Yes	☐ No	□ N/A	Remarks:
5.	Is access to the safe an restricted?	d/or vault appropriately	☐ Yes	☐ No	⊠ N/A	Remarks: Area does not have a safe
6.		ich identifies who has access and when changes in access	Yes	□No	⊠ N/A	Remarks:
7.	number of employees w	on changed when an excess were aware of the d out of the Area, or no longer	☐ Yes	□ No	⊠ N/A	Remarks:
8.	Is the safe securely and	nored to the building?	Yes	□No	⊠ N/A	Remarks:
9.	Are weekly transmittal re accordance with departr		⊠ Yes	□No	□ N/A	Remarks:
10.	Is the weekly transmittal	report(s) submitted to Fiscal MS) within five working days	⊠ Yes	□No	□ N/A	Remarks:

### .NSPECTION PROGRAM

Chapter 4
Fiscal Controls

11.	Does the command submit the following forms with the weekly transmittal when applicable?  (1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.  (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).  (3) STD 634, Absence and Additional Time Worked Report, for jury duty.  (4) CHP 221, Malicious Damage Report.  (5) CHP 464, Traffic Control Cost Estimate – Advance Deposit.  (6) Civil subpoena.	⊠ Yes	∏ No	□ N/A	Remarks:
	Is a memorandum for cash shortages prepared if necessary?		☐ No	□ N/A	Remarks
	Does the command ensure the information written on the counter receipt is complete and legible?	⊠ Yes	□No	□ N/A	Remarks:
5	Was a counter receipt issued for each witness fee deposit received?	⊠ Yes	□No	□ N/A	Remarks:
	Was a counter receipt issued for each movie, wide-load, and special event detail(s)?		☐ No	□ N/A	Remarks:
16.	Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	⊠ Yes	☐ No	□ N/A	Remarks:
	Is sales tax added to items that are not for resale?		☐ No	□ N/A	Remarks:
	Are all counter receipts pre-numbered and issued in numerical sequence?		□No	□ N/A	Remarks:
19.	Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks: The transfer of counter receipt books/certificates has not occurred
20.	Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	⊠ Yes	□ No	□ N/A	Remarks:
21.	Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	⊠ Yes	□No	□ N/A	Remarks
22.	Is the CHP 264 properly authorized?		□No	□ N/A	Remarks:
23.	Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	⊠ Yes	□No	□ N/A	Remarks.
24.	Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	⊠ Yes	□No	□ N/A	Remarks:
25.	Are overages and shortages of the petty cash funds reported to Fiscal Management Section?		□No	□ N/A	Remarks:

### .. ISPECTION PROGRAM

Chapter 4
Fiscal Controls

26	. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	⊠ No	□ N/A	Remarks:
27	Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28	. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29	. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30	Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31	. Is a petty cash custodian designated by the commander?	⊠ Yes	П No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Newhall Area	Southern	3
Inspected by:		Date:
Sgt. J. Martinez - 11332		12-16 <b>-</b> 08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Forward to: Commander's Signature: Follow-up Required: Southern Division ☐ Yes ⊠ No Due Date: Feb. 28, 2008 Chapter Inspection: Three - Command Procurements Inspector's Comments Regarding Innovative Practices: Contracts program: Newhall Area follows the recommended programs outlined in Government Code Section 8546.7 for processing and handling contract records. Command Suggestions for Statewide Improvement:

#### **Contracts Program:**

 Contracts program: Newhall Area follows the recommended programs outlined in Government Code Section 8546.7 for processing and handling contract records. It was noted that the Area kept several expired contracts for over three years after the final payment of the contract.

#### X- Number Program:

• The Area's X-Number Program is being operated within the guidelines set forth by departmental policy. It was noted that the STD 21 and STD 204 forms did not accompany the X-numbers.

Inspector's Findings:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

је 2

Command:	Division:	Chapter:
Newhall Area	Southern	3
Inspected by:	Date:	
Sgt. Martinez	12-16-08	

#### Inspector's Findings - Continued

#### Cal-Card Program:

• The Area's Cal-Card Program is being operated within the guidelines set forth by departmental policy.

#### Purchases Program:

• The Area's Purchases Program was found to be operating within guidelines set by departmental policy.

#### Commander's Response:

Contracts Program Action Item – Has been corrected with a change in the retention schedule for all future expired contracts. All key personnel have been made aware of the required retention period.

X-Number Action Item - All future X-numbers will be accompanied by a STD 21 and STD 204.

Cal Card Program - No action items. The Area is operating within departmental policy.

Purchases Program - No action items. The Area is operating within departmental policy.

#### Inspector's Comments:

The inspector agrees with the Commander's response that the action items were corrected immediately through training of key personnel.

#### Required Action

#### Corrective Action Plan/Timeline

- Contracts Program Action Item: All key personnel have been made aware of the three year retention period and will immediately comply with this requirement for all future contracts.
- X- Number Action Item: Ensure all future numbers in the file are accompanied by a STD 21 and STD 204.
- Cal Card Action Items: None required.
- Purchases Program: None required.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

e 3

Command: Division: Newhall Area Southern		Chapter:	
Inspected by: Sqt. Martinez	Inspected by:		

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
<b></b>	
Commander's Basis for Appeal:	
	ñ
Appeal Review/Decision: (This shall be the only level of appeal).	
Appear Review/Decision. (This shall be the only level of appeal).	
er er	
Lead Inspector's Signature:	Date:
11-1	2-16-09
Casponding Commander's Signature (for appeal):	Date:
11/1/2	Date: 2-26-09

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Newhall	Division: Southern	Number: 540
Evaluated by: J. Martinez		Date: 12-16-08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE O	F INSPECTION		Lead Inspe	clor's Signatu	re:	
☐ Div	ision Level	○ Command Level   ○ Com		1/1	1	55.
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	15	7	<b>'</b> ()	555
Fo	llow-up Required: ☐ Yes	☐ Follow-up Inspection	Commande	er's Signature:	L	Date: 2-26-09
For ap	pplicable policy, refer t	o: HPM 11.1, Chapter 22				
1.	Is a CHP 78 Contract I service contracts which the estimated dollar va	Request used to initiate all name repetitive, regardless of llue?	⊠ Yes	□ No	□ N/A	Remarks:
2.	Is a CHP 78 Contract services exceeding \$4	Request used for one-time ,999.99?	⊠ Yes	□No	□ N/A	Remarks:
3.	numbering beginning v	vith the requesting command le used, followed by "CP" for	⊠ Yes	□ No	□ N/A	Remarks:
4.	Is the performance of and documented?	contract services monitored	⊠ Yes	☐ No	□ N/A	Remarks:
5.	Are all copies of corres maintained?	spondence with the vendor	⊠ Yes	□No	□ N/A	Remarks:
6.		s documented and maintained lems related to substandard or e vendor?	⊠ Yes	□ No	□ N/A	Remarks:
7.		e delivered described nuch detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks:
8.	including the required for expedite and emergence	of approval/signature obtained, documentation and approvals gency contracts per HPM 11.1, warding the CHP 78 or CHP	⊠ Yes	□No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□ No	□ N/A	Remarks:
Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21.	Is the length of the contract amendment request more than one year?	⊠ Yes	☐ No	□ N/A	Remarks:
22.	Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	⊠ Yes	□ No	□ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□No	□ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26.	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (14) Plumbing Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks:

#### **OMMAND INSPECTION PROGRAM "INSPECTION CHECKLIST**

		. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	□ N/A	Remarks:
	28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
	29	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
		Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
	31.	Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
-	32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
	33.	is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
	34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
		Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
		Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
	37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
	38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	∏ No	□ N/A	Remarks:
	39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Newhall	Division: Southern	Number: 540
Evaluated by: J. Martinez		Date: 12-16-08
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Ipepertor's Signature: ☐ Division Level □ Command Level 4 505 Executive Office Level ☐ Voluntary Self-Inspection Commander's Follow-up Required: 2-26-09 Follow-up Inspection ☐ Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: □ N/A. command level familiar with the related policies and X Yes □ No procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: X Yes □ No □ N/A procurement training? Are prohibited items procured on CHP 43, Purchases Remarks: ☐ Yes ⊠ No  $\square$  N/A Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: ✓ Yes ∏ No □ N/A prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: ☐ No  $\square$  N/A Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: □ N/A ⊠ Yes □ No consecutively, starting anew at the beginning of each fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: □ N/A ⊠ Yes □No forwarded to the Assistant Commissioner, Staff, for approval?

## \*OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12	P. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks:
	. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19,	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:

#### **IMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Chapter 3, Command Procurements Purchases

20.	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21,	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22.	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

Page 1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

onapter 3, Command ProcurementsX-Number Program

Command: Division: Southern		Number: 540			
Evaluated by: J. Martinez		Date: 12-16-08			
Assisted by:		Date:			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	F INSPECTION		Lead Inspe	stor's Signati	ure:		
☐ Div	ision Level	○ Command Level	//	/ / 1	11 4	SUF	
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	A	~//	· , D	309	
Fo	ollow-up Required:  Yes No	☐ Follow-up Inspection	Command	er's Signature	Ch		Date: 2-26-09
For a	oplicable policy, refer to	o: HPM 11.1, Chapter 23					
1.	Are multiple X Number to circumvent the \$4,99	s awarded to the same vendor 99 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file STD. 204 Payee Data	documentation contain the Record?	⊠ Yes	□No	□ N/A	Remarks:	
3.		g a contract (i.e., janitorial or r approval from the Business nander?	⊠ Yes	□ No	□ N/A	Remarks:	
4.	Are X Number requests services are performed	s made prior to the date the ?	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued			□No	□ N/A	Remarks:	
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the pure		⊠ Yes	□ No	□ N/A	Remarks:	
8.	Are X Numbers issued related services pre-appreciated services pre-appreciations Services are services.	proved by ection?	⊠ Yes	□No	□ N/A	Remarks:	
9.		facilities related services ectrical) costing over \$1,000 n Facilities Section?	⊠ Yes	□No	□ N/A	Remarks:	
10.	Do X Numbers issued fragreements have prior Assistant Commissione	approval by the appropriate	⊠ Yes	□No	□ N/A	Remarks:	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Cnapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### OMMAND INSPECTION PROGRAM ... SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: Southern	Number: 540			
Newhall	Countries	Date:			
Evaluated by: J. Martinez		12-16-08			
Assisted by:		Date:			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead IDSDE	ictor's Signatu	ire://	2	
☐ Division Level ☐ Command Level		1/15		Щ	lsur	
☐ Executive Office Level ☐ Voluntary Self-Inspection			1	0.		
Fo	llow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Commanda	er's gignature	h		Date:
For applicable policy, refer to: HPM 11.2, Chapter 3						; <b>€</b> 0
1.	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:	
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:	
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:	
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:	
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:	
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	Remarks:	
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:	
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:	
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:	

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

#### .. «SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items     maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM DECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:	
LACC	Southern Division	2	
Evaluated by:	Date:		
PSDS II Susan	12/02/2008		
Assisted by:		Date:	
PSDS II Louise Pankey		12/02/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	INSPECTION		Lead Inspector's Signature:			
☐ Division Level ☐ Command Level				V	$\cap$	<i>J</i> .
☐ Executive Office Level ☐ Voluntary Self-Inspection		Jun Simmons				
Fol	low-up Required:	spection	Commande	r's Signature:	is the	Date: 12/22/08
	Yes 🛛 No		-	1109		
For ap	plicable policy, refer to: HPM 11.2, Cha	pter 3				
	Card program completing the CHP 78S, Conterest Statement, Employee, form?	onflict of	⊠ Yes	□No	□ N/A	Remarks:
2.	Are STD. 21 Drug Free Workplace certifica maintained within the Cal Card command f each vendor utilized?	itions ile for	⊠ Yes	□ No	□ N/A	Remarks: STD 21 certifications are provided by vendors and sent with requisitions to Sacramento.
3.	Are STD. 204 Payee Data Record forms m in the Cal Card command file for each venutilized?	aintained dor	⊠ Yes	□No	□ N/A	Remarks:
4.	Are California Integrated Waste Manageme Form 74 documents maintained for each ve utilized?	ent Board endor	⊠ Yes	□No	□ N/A	Remarks:
5.	If the vendor is a small business or DVBE is the certification letter from the Departme General Services maintained in the file?	s utilized, nt of	⊠ Yes	□ No	□ N/A	Remarks:
6.	When fair and reasonable is utilized, is the reasonable method documented and proper justified?	fair and erly	☐ Yes	□ No	⊠ N/A	Remarks: Area has not utilized the fair and reasonable method.
7.	Are purchases split into multiple transactio to circumvent transaction purchase limits?	ns in order	☐ Yes	⊠ No	□ N/A	Remarks: Area always follows Departmental policy regarding purchases.
8.	Does the CHP 317 Cal Card Log fully desc purchase?	cribe the	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements reconciled with the C Cal Card Log and the receipts/invoices?	HP 317	⊠ Yes	☐ No	□ N/A	Remarks: The bank statements are reconciled with CHP 317 and receipts by a non-card holder.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM .. SPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks: Area had a Cal Card audit completed in October 2008 and received good ratings.
Are credit invoices/receipts for returned items     maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks: Cal Cards are secured.
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited     by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks: Area follows Departmental policy regarding purchases.

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division: Southern		Chapter: 3 Cal-Card Program
Inspected by:		Date:
PSDS II S. M. Simmons		12/2/2008

....TRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: ⊠ No ☐ Yes Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None

Inspector's Findings:
No discrepancies found.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

-ge 2

Command:	Division:	Chapter:
LACC	Southern	3 Cal-Card Program
Inspected by: PSDS II S. N	Л. Simmons	Date: 12/2/2008

Commander's Response:	
None needed.	
Inspector's Comments:	
N/A	

Required Action

rrective Action Plan/Timeline

N/A

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

ge 3

Command: Division: 3 Cal-Card Program
Inspected by: Date: 12/2/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
- IB : /B : :	
Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:
responding communical soliginature for appears.	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **COMMAND INSPECTION PROGRAM**INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:LACC Division:Southern		Number:514		
LACC				
Evaluated by:	Date:			
PSDS II Patricia Hill		12/04/08		
Assisted by:	Date:			
PSDS II Darlei	12/04/08			

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Follow-up Required: Follow-up Inspection Yes □No For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: service contracts which are repetitive, regardless of ⊠ Yes □ No  $\prod N/A$ the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time ⊠ No ☐ N/A services exceeding \$4,999.99? ☐ Yes Is the Office of Primary Interest (OPI) tracking Remarks: No instances necessitated □ N/A □ No numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks: Contacts monitored by shift ☐ N/A X Yes ☐ No and documented? managers. Are all copies of correspondence with the vendor Remarks: □ N/A X Yes ΠNο maintained? Are letters for contracts documented and maintained Remarks: □ No □ N/A which outline any problems related to substandard or non-performance of the vendor? 7. Is the final product to be delivered described Remarks: □ No  $\square$  N/A specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: X Yes □ N/A including the required documentation and approvals ☐ No for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks: Handled by Headquarters.
Is all work completed and accepted by the     Department before expiration of contract agreement?	☐ Yes	□ No	⊠ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks: By management level and above.
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks: In the event this would happen, yes, but to date this has not occurred
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks: Yes, but situations have not required this.
Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	☐ No	⊠ N/A	Remarks: Has not occurred during this report.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□ No	□ N/A	Remarks: Yes, if needed.
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks: Not used during this period
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	⊠ No	□ N/A	Remarks: Not utilized.
Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:      Avionics Maintenance and Repair     Helicopter Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks: DGS handles facility issues. However, CHP ensures backgrounds are conducted to comply with CLETS requirements.
<ul><li>(3) Instructor Services (on-site)</li><li>(4) Janitorial Services</li><li>(5) Consulting Services</li></ul>				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks: DGS handles facility.
<ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extingulsher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol>				

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	⊠ N/A	Remarks:Handled by DGS and/or ISU.
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	⊠ N/A	Remarks: Refer to list item #25.
29	. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30	. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks: When events occur.
31	. Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
32	. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□ No	□ N/A	Remarks:
33	. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks: Our contracts are administered.
34	. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks:Not used
36	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks: For those few contracts we have.
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks: If applicable.
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
LACC	Southern	3 Contracts
Inspected by: PSDS II P. A. Hill,	#A5325	Date: 12/04/2008

INSTRUCTIONS; This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: In frolk ⊠ No ☐ Yes Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None

Inspector's Findings:
No discrepancies found.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT ge 2

Command: LACC	Division: Southern	Chapter: 3 – Command Procurements
Inspected by: PSDS II P. A. Hill, #	#A5325	Date: 12/04/2008

Area is in compliance with policy applicable to this Chapter Inspection in accordance with HPM 11.1, Chapter 22.

#### Inspector's Comments:

Contract services are monitored by the shift managers and Area Lieutenant. Area is in compliance with Departmental policy.

. .equired Action

Corrective Action Plan/Timeline

None

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

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Command: LACC	Division: Southern	Chapter: 3 – Command Procurements
Inspected by: PSDS II P. A. Hill,	#A5325	Date: 12/04/2008

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Appeal Process: (Appeals shall be filed within five (5) business days of the	a completed chapter inspection)
Type data to deco. (Appeals shall be free within five (b) business days of the	e completed chapter inspections.
Commander's Basis for Appeal:	
N/A	
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Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:  Responding Commander's Signature (for appeal):	Date:

Page

when necessary.

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### NMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: L.A.C.C.	Division: Southern	Number:			
Evaluated by: PSDS II M.A. Orozco		Date: 12/5/08			
Assisted by: PSDS II D. C. Pedersen		Date: 12/09/08			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Command Level ☐ Division Level Executive Office Level Date 12/22 Follow-up Required: 12/09/2008 ☐ Follow-up Inspectión Yes ⊠ No For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: X Yes ☐ No □ N/A command level familiar with the related policies and procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: ⊠ Yes ΠNο □ N/A procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: Prohibited items procured □ N/A ☐ Yes ⊠ No Requisitions? on a CHP 43 would be a violation of departmental policies and Supplies for personally - owned equipment procedures. Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: ☐ No □ N/A prepared for commodity items obtainable from ⊠ Yes different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A Purchase Requisition? ⊠ Yes □No 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: □ N/A X Yes ☐ No consecutively, starting anew at the beginning of each fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: Through chain of command □ N/A forwarded to the Assistant Commissioner, Staff, for X Yes □ No beginning with Southern Division approval?

# DMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks: Small-Business vendors,
Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	∏ No	⊠ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks: When appropriate.
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks: When appropriate.
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	☐ No	□ N/A	Remarks:
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
LACC	Southern	3 Purchases
Inspected by: PSDS II M. A. Oro:	zco	Date: 12/5/2008

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Fonis document shall be utilized to	oxes as necessary, or fill in the blanks as indicated broward to:" enter the next level of command whe document innovative practices, suggestions for subset to appeal findings. A CHP 51 Memorar	re the document statewide
TYPE OF INSPECTION  Division Level		☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included Commander's Signature:  7 / / / / / / / / / / / / / / / / / /	Date:
Chapter Inspection: Inspector's Comments Regar None	ding Innovative Practice	es:	
Command Suggestions for St None	atewide Improvement:		
÷			

Inspector's Findings: No discrepancies found.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

⊃age 2

Command:	Division:	Chapter:
LACC	Southern	3 Purchases
Inspected by: PSDS II M. A	. Orozco	Date: 12/5/2008

Commander's Response:
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nspector's Comments:

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Required Action	
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orrective Action Plan/Timeline	

N/A

## COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

age 3

Command:	Division: Southern	Chapter:
Inspected by:		Date:
PSDS II M. A. Orozco		12/05/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal: N/A.	
, ppeal Review/Decision: (This shall be the only level of appeal).	
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Lead Inspector's Signature:	Date: 12/22/2008
Responding Commander's Signature (for appeal):	Date:

Page

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

TYPE OF INCRECTION

Command: L.A.C.C. / 514	Division: SOUTHERN	Number:
Evaluated by: PSDS II L. PANKEY, #A2555		Date:11/12/2008
Assisted by;N/A	777. 7	Date

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated, Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	eclor's Signalı	ire:	
☐ Division Level xCommand Level	. 0	*	, )	F.
☐ Executive Office Level ☐ Voluntary Self-Inspection	10	٥٥٥٠		ky_
Follow-up Required:	Command	er's Signature	Fo C	Date: 11/3/68
For applicable policy, refer to: HPM 11.1, Chapter 23				
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	x No	□ N/A	Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	x[] Yes	□No	□ N/A	Remarks:
Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	□ No	x□ N/A	Remarks:This facility is a CalTrans owned property. We do not engage in contracts for such services.
Are X Number requests made prior to the date the services are performed?	x \ Yes	□No	□ N/A	Remarks:X-Number approval secured from So, Div. prior to service.
5. Are X Numbers issued for a one-time use?	x Yes	□No	□ N/A	Remarks:
6. Are prohibited services performed using an X Number?	☐ Yes	x No	□ N/A	Remarks:There is no record of prohibited services being performed.
Are X Numbers used for the procurement of a service and not the purchase of a commodity?	x□ Yes	□No	□ N/A	Remarks:Commodities only obtained through Supply Services, CalCard or other approved methods.
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	x Yes	□No	□ N/A	Remarks:No related-services required for the time period audited.
<ol> <li>Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?</li> </ol>	☐ Yes	□No	x[] N/A	Remarks:Refer to remarks provided in #3.
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	Yes	□No	x[] N/A	Remarks:Refer to remarks provided in #3.

# COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	x_ Yes	□ No	□ N/A	Remarks:Only Product specific vendor did not contain three quotes. When checked, no other vendor would perform service on product.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	x Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	x Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	x_ Yes	□No	□ N/A	Remarks:There were no emergency incidents for the period of the audit.
15. Is the itemized invoice for each X Number service maintained in the command's files?	x□ Yes	□No	□ N/A	Remarks:

The audit covered the period between 07/07/2007 through 06/23/2008. During that time, a total of 15 X-Numbers were requested through Southern Division. It should be noted that since we have co-cated with the LARTMC, the need for any type of facility repair work has become non-existent. The majority of X-Number requests have resulted in the need for service and/or repair to Area's IT equipment. At the time of the audit there were no outstanding invoices or instances of duplicate billing. The Area's X-Number Coordinator is to be commended for her thorough record-keeping.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
LACC	Southern	3 – X Numbers
Inspected by: PSDS II L. Pa	nkey, #A2555	Date: 11/12/2008

STRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: ⊠ No Yes Yes Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None Command Suggestions for Statewide Improvement: None Inspector's Findings:

No discrepancies found.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

ົage 2

Command:	Division:	Chapter:
LACC	Southern	3 – X Numbers
Inspected by: PSDS II L. Pankey	, #A2555	Date: 11/12/2008

Commander's	Response:
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Area is in compliance with policy applicable to this Chapter Inspection in accordance with HPM 11.1, Chapter 22.

#### Inspector's Comments:

At the time of the audit there were no outstanding invoices or instances of duplicate billing. The Area's X-Number Coordinator is to be commended for her thorough record keeping.

guired Action

Corrective Action Plan/Timeline

None

## COMMAND INSPECTION PROGRAM

## **EXCEPTIONS DOCUMENT**

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Command:	Division:	Chapter:
LACC	Southern	3 – X Numbers
Inspected by:		Date:
PSDS II L. Pankey, #A2555		11/12/2008

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Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
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Load Increator's Signature	I Deter
Lead Inspector's Signature:	Date: 12, 22, 220
Lead Inspector's Signature:  Byuce Farkey nesponding Commander's Signature (for appeal):	Date:  12-22-2009  Date: